

PATENT APPLICATION SERIAL NO. 09/980722

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

12/12/2001 00000000 09980722

01 FC:970

870.00 GP

Prepared from
FORM PTO-1390Transmittal Letter to the United States
Designated/Elected Office (DO/EO/US)

Customer No.	0264	
Attorney's Docket No.:	GK-ZEI-3145 / 500343.20146	
U.S. Application No.:	09/980722	
International Application No.:	PCT/EP01/02921	
International Filing Date:	MARCH 15, 2001	15 MARCH 2001
Priority Date Claimed:	MARCH 16, 2000	16 MARCH 2000
Title of Invention:	ADJUSTING DEVICE FOR DISPLACING INDIVIDUAL ELEMENTS OF OPTICAL SYSTEMS OR OF MEASURING SYSTEMS	
Applicant(s) for (DO/EO/US):	Karlheinz BARTZKE, Stefan MACK, Matthias BURKHARDT, Thomas HARTMANN, Reinhard STEINER, Peter Dittrich and Karl-Heinz KLOPFLEISCH	

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- [X] 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
 [] 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
 [] 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)] at any time rather than delay examination until the expiration of the applicable time limit set forth in 35 U.S.C. 371(b) and PCT Articles 22 and
 [] 4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
 [X] 5. A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
 a) ☐ is transmitted herewith (required only if not transmitted by the International Bureau)
 b) ☐ has been transmitted by the international Bureau
 c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
 [X] 6. A translation of the International Application into English [35 U.S.C. 371(c)(2)]
 [] 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
 a) ☐ are transmitted herewith (required only if not transmitted by the International Bureau)
 b) ☐ have been transmitted by the International Bureau
 c) ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
 d) ☐ have not been made and will not be made
 [] 8. A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]
 [X] 9. An **UNSIGNED** Oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)] **EXECUTED Decl/POA - TO FOLLOW**
 [] 10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]

Items 11. to 16. Below concern other document(s) or information included:

- [X] 11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98
 [] 12. An Assignment document for recording. A separate cover sheet (PTO-1619A) in compliance with 37 CFR 3.28 and 3.31 is included.
 [X] 13. ☒ A **FIRST** preliminary amendment
 ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment
 [X] 14. A **substitute specification and abstract (attached to the preliminary amendment)**
 [] 15. A change of power of attorney and/or address letter
 [X] 16. (other items or information) **PCT/RO/101, 1ST pg WO 01/69297 20SEP01,**
Search Report: (PCT/ISA/210) 26OCT01, PTO-1449 w/3 documents, 3 1st pgs of US Patents and 4 English Abstracts

EXPRESS MAIL No.: EL 645 877 085 US

Deposited: November 15, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: BOX PCT, Commissioner for Patents, Washington, DC 20231.


 /Ruth Montalvo Date: November 15, 2001

☒ 17. The following fees are submitted:

BASIC NATIONAL FEE [37 CFR 1.492(a)(1)-(5)]

JC13 Rec'd PCT/PTO 15 NOV 2001

☒ Search Report has been prepared by the EPO or JPO..... \$ 890.00

☐ International preliminary examination fee paid to USPTO [37 CFR 1.482]..... \$ 710.00

☐ No International preliminary examination fee paid to USPTO [37 CFR 1.482] but International search fee paid to USPTO [37 CFR 1.445(a)(2)]..... \$ 740.00

☐ Neither International preliminary examination fee [37 CFR 1.482] nor International search fee [37 CFR 1.445(a)(2)] paid to USPTO..... \$ 1,040.00

☐ International preliminary examination fee paid to USPTO [37 CFR 1.482] and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT:

\$890.00

Claims	Number Filed		Number Extra	Rate
Total Claims Prel. Amdt)	14	-20		x \$ 18. =
Indep. Claims	1	-03		x \$ 80. =
<input type="checkbox"/> Multiple Dependent Claim(s) (if applicable)				+ \$ 270. =

TOTAL OF ABOVE CALCULATIONS:

\$890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date [37 CFR 1.492(e)]

TOTAL OF ABOVE CALCULATIONS:

\$890.00

Applicant claims Small Entity Status [See 37 CFR 1.27] Reduction by 1/2 for filing by small entity

SUBTOTAL:

\$890.00

Processing fee of \$130.00 for furnishing the English Translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date [37 CFR 1.492(f)]

TOTAL NATIONAL FEE:

\$890.00

Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be accompanied by an appropriate cover sheet (PTO-1595) [37 CFR 3.28, 3.31]. \$ 40.00 per property +

TOTAL FEE(S):

\$890.00

AMOUNTS TO BE
REFUNDED OR CHARGED

REFUNDED
CHARGED

\$
\$

(Please note the filing fee is based on the claims in the Preliminary Amendment)

☒ Check in the amount of \$ 890.00 to cover the above fees is enclosed. (The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 50-1529.)

NOTE: Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Gerald h. Kiel, Esq. (Customer No. 026418)

Reed Smith LLP
375 Park Avenue
New York, NY 10152

Gerald H. Kiel

Name (Tel. (212) 521-5400)

Signature

25.116

Reg. No.

November 15, 2001

Date